[1] **Deloitte.**

Indiana Department of Child Services (DCS)

Caseload and Workload Analysis:

Final Recommendations

March 16, 2015

Table of Contents

Table of Attachments

Table of Tables

Table of Figures

1   Document History

Version	Effective date	Prepared / revised by:	Change description (additions / modifications)
v0.1	03/09/2015	Deloitte	First Submission
v1.0	03/12/2015	Deloitte	Final Submission
v.1.1	03/13/2015	Deloitte	Final Submission
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2 Executive Summary

2.1 Background

1   Child welfare agencies across the country have a shared goal and commitment – protecting the safety of youth who come to their attention through community referrals and reports and then working continuously to achieve permanency and wellbeing for the children who come under their oversight. Exactly how different states and their child welfare agencies choose to work toward this goal can be varied. However, the work does require certain consistencies, in terms of policies, processes, and practices, and those consistencies are driven by both federal and state laws and guidelines. The primary responsibility for serving children and their families' falls principally on the shoulders of frontline social/case workers, in Indiana, this role is performed by the Family Case Manager (FCM). FCMs respond to allegations of abuse and neglect and situational changes for families being served. They evaluate complex situations, make determinations about what services are needed and they are held accountable for the outcomes achieved with these children and their families.

2   Because social/case workers are the primary point of engagement with children and families, states often establish a set of expectations or standards to define the number of cases that is preferred for each social/case worker to carry effectively. For each state jurisdiction, that number represents an estimation of both the amount of time and the level of effort that is anticipated will be needed to manage tasks and duties associated with casework. And the definition of caseload varies by agency due to the blend of case types that a worker manages (e.g. Assessments/Investigations, In-Home, Out of Home, Adoptions, Foster Parent, etc.). What is clear is that not all cases are equally complex and caseload can be a fluid concept. Although the Child Welfare League of America (CWLA) has published recommended caseload guidelines for child welfare social workers as a part of their Standards of Excellence for Child Welfare Services, no universal caseload standard is accepted or used by all states. Many states use the CWLA standard as an input to inform their respective state standards. In December of 2013 10 state administered States reported[2] caseload ratios ranging from 1:12-1:15 for investigations and 1:12 and 1:30 for ongoing cases. It should be noted that CWLA is currently surveying states on caseload standards, to present findings at their 2015 annual conference. This survey and presentation may inform the reassessment of caseload excellence standards[3] In addition to considering the CWLA ratios in developing their caseload standards, many states apply a weighting mechanism that means case counts are not a function of just volume but also complexity as well as consideration for caseworker tenure. Given the myriad of considerations, states periodically re-evaluate their respective standard(s) to address the appropriate balance of factors utilized in setting their standards, as well as considering what actions they might take to ensure that they can consistently meet those standards. In child welfare, caseloads, their management and their complexity are critical barometers of how well-positioned states are to protect children and achieve permanency and wellbeing for them.

2.2 Indiana Department of Child Services

3   The Indiana Department of Child Services (DCS) has a defined vision for providing child welfare services in the State of Indiana. A key component of this vision is achieving compliance with the statutory caseload requirements of 12 and 17 cases on average for Assessment and Permanency FCMs, respectively. Over the past 12 to 18 months, the Department has taken steps to evaluate and reconfigure work tasks and

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[2] OPPAGA Research of State Level Child Welfare Information December 2013

[3] CWLA 2015 National Conference: Advancing Excellent Through Innovation and Collaboration, Workshop Offerings (2015, March 11) Retrieved from http://www.cwla.org/2015nc-workshops/

activities in an effort to improve its ability to meet this requirement. However, ongoing challenges have led DCS to conclude that additional actions are needed to improve compliance. To identify the best next steps, DCS needs to answer two central questions:

- Does the statutory caseload standard remain appropriate, in light of the actions undertaken by the Department and in consideration of national practices, policies and standards?

- Guided by leading practices, what changes – in activities, staffing, organizational structure or policy – are necessary for Indiana to effectively meet future caseload standards?

4   To answer these questions, DCS commissioned the Caseload and Workload Analysis. The Caseload and Workload Analysis assessed the current state, evaluating the caseload standards with existing agency practices, activities, and performance. Included in this assessment was an analysis of DCS' current practices set against leading national child welfare practices that are aligned with improvement in caseload management and service delivery. This deliverable, the Final Recommendations Deliverable, provides a prioritized roadmap and profile of each recommended option that DCS should consider implementing to improve its ability to meet future caseload standards while improving services to children and families.

5   DCS hired Deloitte Consulting to analyze Indiana's caseload and workload concerns. Deloitte Consulting is well positioned to conduct an analysis of the challenges Indiana is experiencing in meeting its caseload standards and then developing recommendations to help the state achieve compliance. Deloitte is one of the world's leading management consulting and professional services firms, with over 10,000 practitioners supporting U.S. Public Sector clients. Over the past five decades, Deloitte has worked with state government agencies in all 50 states. Deloitte's Child Welfare practice has helped 13 states configure their data systems and achieve compliance with federal SACWIS standards. Its work with human services clients has helped them identify and solve their most complex people, process, and technology challenges. For the past 24 years, Deloitte has worked with the State of Indiana to achieve a number of strategic goals and objectives.

2.3   Approach

6   A methodology that assesses the inter-relationships between caseload standards and key areas of DCS' operational performance (business process, organizational structure and service activities) was used to complete the Caseload and Workload Analysis. These areas of focus, when reviewed collectively, offer a comprehensive view of how specific aspects of DCS' operations may be furthering or inhibiting its ability to meet its responsibility for caseload standards. At the conclusion of the analysis, the methodology provides DCS with potential strategic and tactical opportunities for addressing specific business and organizational challenges.

7   Figure 1 illustrates the high-level approach for the Caseload and Workload Analysis project. Five methods were used to gather information, including analysis of program data, current state / future state work sessions with staff, field observations of frontline staff, case reviews, and a time study. At the same time, a review was conducted of national leading child welfare practices. The findings from the five information-gathering methods were then assessed in light of the leading practices in an opportunity analysis. The opportunity analysis identified a list of potential long-term strategic and near-term tactical opportunities for the agency to identify and address processes and practices that are likely to be strongly correlated with meeting current caseload standards.

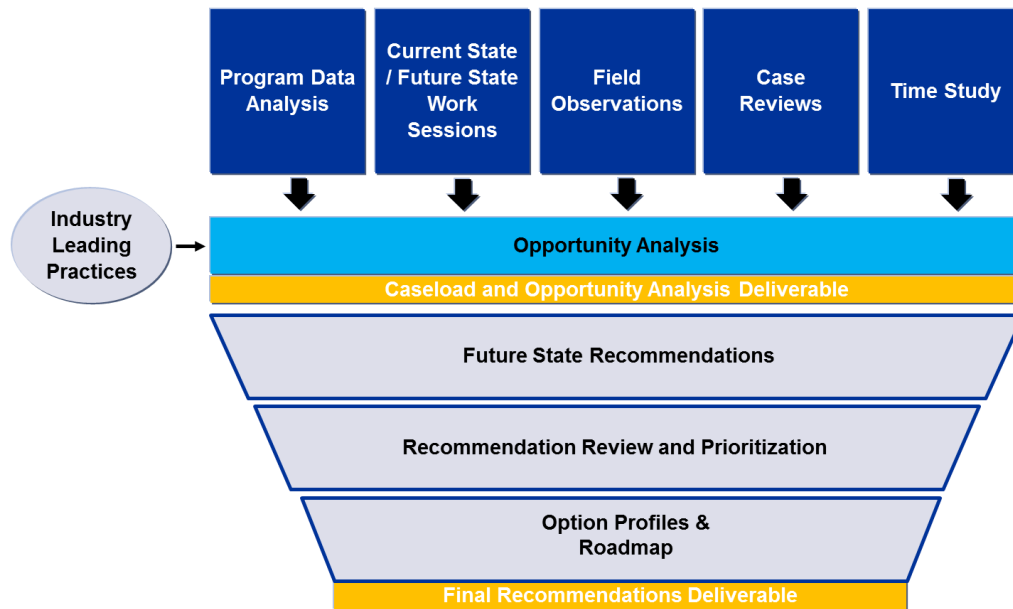**Figure 1: High-level Approach**

8   A variety of information-gathering methods were utilized to enable data to be collected from all regions in Indiana. Specifically, all regions participated in the time study and 17 regions, including 21 counties, participated in either the work sessions or the field observations, or both, as shown in Figure 2.
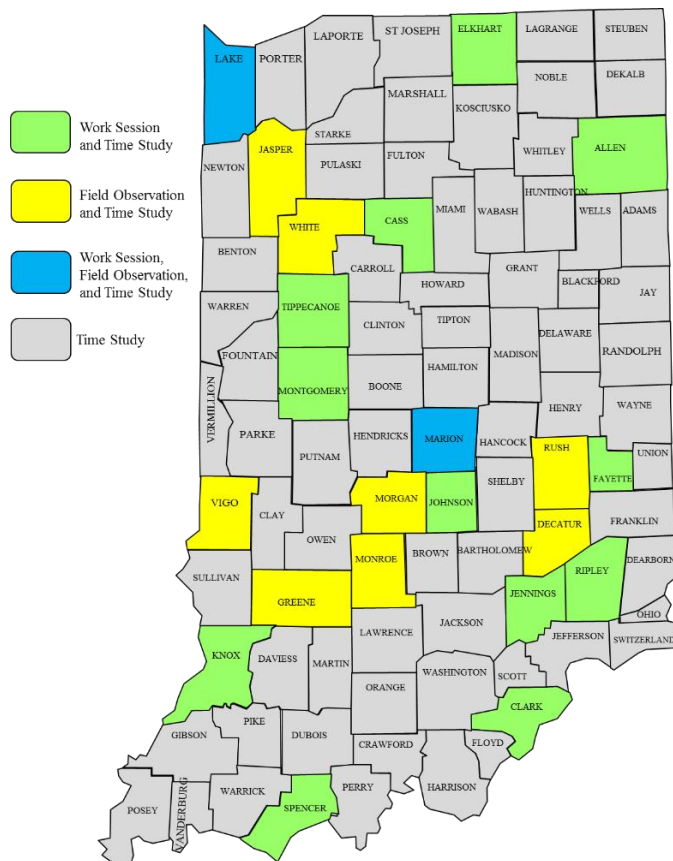

Figure 2: County Participation in the Analysis

9   **Program Data Analysis** – Existing program data was collected from DCS and other publicly available sources to inform the Caseload and Workload Analysis. The data was compiled and analyzed to glean insights into the current caseload and staffing patterns in the Indiana child welfare system and to provide additional support for information gathered from those participating in the work sessions. Additionally, basic data visualizations were used to view and determine key patterns that may not be evident by simply reviewing reports containing the empirical data. Data visualizations allowed insight into trends spanning time and geography and to track and assess how caseloads across the state were being impacted. In addition, key child welfare performance indicators and trends were examined to determine how Indiana compared to other states.

10   **Work Sessions** – Over three days interactive work current/future state sessions were held with representative DCS staff from across the state. Participants in these sessions were family case managers (FCM) and supervisors who provided first-hand subject matter input on how child welfare services are delivered. The work sessions had three purposes:

- To document the current casework processes as conducted in the majority of counties

- To make a preliminary assessment of challenges associated with current business processes

- To solicit field-based ideas for how current processes might be improved and inform any potential changes proposed from this study

11   **Field Observations** – Field observations were conducted to provide a hands-on observation focused on the daily activities of FCMs and supervisors. The field observations provided additional insight into the information gathered from all of the other work threads.

12   **Case Reviews** – Using DCS Quality Service Reviews (QSR), case reviews were conducted to provide an understanding of the characteristics of DCS' caseload. Individual case file data was reviewed to better understand how the overall caseload is stratified across three dimensions thought to influence the amount of time required of FCMs case complexity, quality of service delivery, and family case manager (FCM) effectiveness. This caseload stratification aided the Team's understanding of DCS' current caseload mix and is a tool for projecting the impact and limitations of certain recommendations.

13   **Time Study** – The Time Studies provided insight into how DCS staff members are spending their time across various tasks, duties and responsibilities, and the amount of time spent on both core and non-core activities that are part of a staff member's daily workload.

14   **Development of Recommendations** – The process to evaluate and then select a set of recommendations included a comprehensive review of data and findings along with an analysis of ways in which the identified opportunities were aligned or could be consolidated and implemented. In addition, the recommendations were further refined by data from a second time study.

15   The recommendations were then categorized and mapped to the six key objectives of DCS' program:
   a. Improved Services for Children Remaining in the Community
   b. Improved Caseload Compliance
   c. Improved Employee Morale
   d. Improved Performance Results
   e. Improved FCM Knowledge, Skills, and Abilities
   f. Improved Application of Trauma Informed Care Practices

16   Once mapped to the key objectives, each recommendation was scored based on three considerations:
   1. Impact on Caseload Compliance
   2. Complexity of Implementation
   3. Time to Implement

17   The scoring resulted in an overall score and subsequent rank of priority. While not solely determinant, the scoring informed the rank and priority of the recommendations. Scoring occurred on a 100 point scale; all recommendations provided in this report scored more than 85 points.

2.4   Assumptions

18   Table 1 provides a list of general assumptions applied during the development of this study.

Project Activity	Assumptions
Program Data Analysis	• Queries used to provide information to answer requests for data accurately represent the data available to the team for research • Research is limited to the data provided from the casework documentation system of record
Work Sessions	• FCMs who participated in the session are broadly representative of the makeup of DCS's FCM workforce
Field Observations	• Activities observed were representative of the tasks, drivers and barriers experienced by the agency
Case Review	• The Quality Service Reviews (QSRs) used to conduct the case reviews were appropriate proxies for evaluating FCM effectiveness, case complexity, and quality of services
Time Study	• Data collected is representative of a typical FCM's tasks and the frequency of those activities • The data captured during the two-week period is assumed to be reflective of current workload trends.

Table 1: Assumptions

2.5 Summary of Recommendations

19   Opportunities were identified through the aforementioned threads of work which either directly impact caseload measurement or provide substantial implications for a FCM's caseload. The team prioritized these opportunities to present only those which have the greatest potential to impact the agency's ability to meet the 12 and 17 caseload standards

20   The options and recommendations are shown in Table 2.

ID	Option Name	Recommendations	Impact to Caseload Imperative
1	Case Count Methodology	Improve the current case count calculation for reporting compliance with the 1:12 and 1:17 caseload ratios in order to increase the accuracy and usefulness of the calculation in making data-informed management decisions	High
2	Case Closure Initiative	Design and institute case closure special initiative to be implemented cyclically to help monitor and manage backlogs	High
3	Improving Tool Usage	Train every FCM to be proficient in using key functionality in the state's MaGIK case management system	High
4	Workforce Planning	Utilize workforce analytics to identify current and forecasted staffing needs and build a comprehensive recruiting and retention strategy to minimize staffing shortages	High
5	Realignment of FCM Duties	Identify routine and time-intensive ancillary FCM duties and realign resources to support FCMs	High
6	Pipeline and Performance Metrics Methodology	Implement a performance management methodology that tracks the case lifecycle, including a routine pipeline analysis and performance metrics	High
7	Data Use Training for Administrators and Supervisors	Familiarize administrators and supervisors with institutional data resources and train them in data informed management practices	High
8	Management Training for Supervisors	Evaluate current supervisory development training and design improved training to include employee development techniques and accountability systems	High
9	Evidence Informed IA Criteria	Devise a distinct set of evidence-informed criteria to promote consistent statewide use and practice	High
10	Centralized PMO	Create a centralized Project Management Office (PMO) to provide oversight and governance with dedicated staff in implementing options identified and recommended by this study	N/A

Table 2: Options and Recommendations

21   Each of the options and recommendations above will be detailed in the next section, including the background and inputs to the recommendation, as well as the potential impact to the caseload imperative expected as a result of implementation.

3 Document Overview

22   The Final Recommendations Deliverable contains the prioritized improvement opportunities for the state to consider in addressing the identified caseload changes. This document provides an overview of the approach, as well as the implementation and sequencing strategy, used to develop the Implementation Roadmap.

23   The Final Recommendations Deliverable is presented in the following sections:

- **Approach** – details the methodology used to develop the Final Recommendations Deliverable

- **Recommendations** – provides a summary of the prioritized recommendations

- **Explanation of Option Profiles** – provides an explanation of the associated option profiles which are provided in the appendix

- **Implementation Roadmap** – discusses the implementation strategy developed to stage the projects along a timeline

- **Appendix A: Option Profiles** – provides a profile for each of the prioritized recommendations

- **Attachment A: Implementation Roadmap** – provides the recommended Implementation Roadmap

4 Approach

24   Potential high-level recommendations were identified in the opportunity analysis and listed in the Caseload and Opportunity Analysis Deliverable. These opportunities were categorized and assessed against the objectives of the agency. While not critical to the scoring activity, this provided additional input into the effect of the recommendations relative to the program overall.

25   As inputs into prioritizing the recommendations, the team observed a host of factors, including:

- Level 1: does it directly impact the 12 and 17 caseload requirements?

- Level 2: what is its impact level on case openings, case closings, and case length?

- Level 3: how complex is the implementation?

- Level 4: how long is the implementation timeline?

- Level 5: how does the option align with DCS' vision, goals, and culture?

26   Actual scoring of recommendations was based on the following: each was assessed at a high level across three criteria shown in Table 3 to determine a scoring number.

Criteria	Definition
Impact	- High: has significant impacts on case openings, case closings and/or decreasing case length - Medium: has moderate impacts on case openings, case closings and/or decreasing case length - Low: has limited impacts on case openings, case closings and/or decreasing case length
Complexity	- High: highly intricate solution in terms of people, process, and technology - Medium: moderately intricate solution in terms of people, process, and technology - Low: minimally intricate solution in terms of people, process, and technology
Time	- Short: 0 to 6 months to implement - Mid: 6 to 12 months to implement - Long: 12+ months to implement

Table 3: Prioritization Criteria

5 Recommendations

27   The following options are based upon analysis and consideration of multiple data points with an eye towards the impact to the 12 and 17 caseload factor. The data points include an aggregate view of the sub-processes that make up the lifecycle of a case, known leading practices from other state programs, and findings from the opportunity analysis. Each option is described below in the context of the opportunity analysis. The option profiles for each are available in Appendix A.

5.1   Option 1: Case Count Methodology

Recommendation: Improve the current case count calculation for reporting compliance with the 1:12 and 1:17 caseload ratios in order to increase the accuracy and usefulness of the calculation in making data-informed management decisions.

28   DCS has a statute outlining a 1:12 caseload for assessment cases and a 1:17 caseload for ongoing cases. [4] DCS has an immediate opportunity to improve the current case count calculation in order to increase the accuracy and versatility of the calculation in making data-informed management decisions around caseloads. This option involves adjusting several elements to the existing calculation. These adjustments can be categorized as input and output adjustments.

29   **Outputs:** DCS would benefit from implementing a calculation method step to differentiate between Assessment Worker and Permanency Worker need, and shift toward reporting actual monthly totals rather than averages. This would allow DCS to report a pure caseload ratio to monitor combined caseload compliance and provides a more accurate representation of DCS's caseload compliance on a month to month basis.

30   DCS currently utilizes a 12 month average in reporting its compliance with the 1:12 and 1:17 ratios. Two basic issues arise. First, the 12 month average may cause DCS to report itself as non-compliant in a reporting month when in actuality it was compliant, as a result of the influence of high volumes or low FCM populations in previous months. Furthermore, the 12 month average fails to illuminate current caseload trends, causing DCS to make staffing and management decisions based on lagging indicators. By reporting actual monthly totals, DCS will create a more current picture of compliance in each reporting month and provide real-time caseload indicators for management decision making, although it should be understood that seasonal fluctuations in maltreatment reports (such as the increases typically observed at the start and end of every school year) may at those times produce periods of apparent non-compliance.

31   Beyond the averaging approach, DCS should also look at how the Assessment Worker and Permanency Worker ratios are combined. DCS currently reports compliance in a way that does not differentiate between compliance with the 1:12 and 1:17 caseload ratios; rather, total overall compliance as a result of combining these ratios is reported. One implication of this reporting method is that DCS is only able to gauge its total need for FCMs to meet compliance rather than differentiating between the total numbers of Assessment Workers or Permanency Workers needed for compliance. DCS should consider weighting cases and categorizing individual FCMs as Assessment Workers, Permanency Workers, or FCMs with blended caseloads based on their caseload composition when calculating compliance with caseload ratios, rather than combining them into a general count of FCMs.

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[4] Indiana Code Title 31, Article 25, Chapter 2.

32   **Inputs:** DCS should review definitions for ongoing caseloads and focus on improving the method used for approximating the assessment caseload. Revising these definitions would provide a more accurate capture of workload and inform more precise workforce decisions.

33   Currently, DCS's calculating and reporting method utilizes state specific definitions for assessment and ongoing cases. While CWLA standards are commonly accepted and provide a benchmark with which to contrast Indiana's definitions, it is not uncommon that many states have developed their own independent standards. This state specific approach is, in part, in response to the need for States to realign their workforce to meet the multiple types of responses they provide in the child protective service arena. The increasing granularity of response types leads to ever increasing complexity in caseload estimation[5]. For assessments, the CWLA recommends a 1:12 ratio that is designed to reflect a total monthly caseload of assessments (new and carryover). In comparison, DCS factors in only new assessment caseload, which inadvertently understates the true assessment workload and overstates actual compliance compared to the CWLA definition. In other words, only new assessment cases are accounted for although FCMs are still responsible for previously assigned cases that remain open.

34   For ongoing cases, the Indiana state standards differ from the benchmark CWLA standards in two important ways. First, the statute specifies compliance with the ongoing caseload standard is to be measured using ***children*** as the unit of analysis. The CWLA standard specifies the ***family*** as the unit of analysis for "Ongoing" (in-home) child protective services cases[6] Applying the standard of 17 to children rather than families for in-home services cases overstates the true ongoing workload and, therefore, understates actual compliance compared to the CWLA definition. Second, DCS and the statute treat In-home CHINS, Out-of-home CHINS, and IA cases as "Ongoing" cases subject to the caseload standard of 17. However, CWLA has promulgated a separate standard (12-15 children) for "family foster care cases," the equivalent of Indiana's Out-of-home CHINS cases. Indiana should consider applying the *family-based* standard of 17 to IA and In-home CHINS cases, and establishing a separate, *child-based* standard for Out-of-home CHINS cases, as CWLA has done. In the absence of such a third standard, continuing to apply a *child-based* standard of 17 to In-home CHINS cases and a *family-based* standard of 17 to IA and In-home CHINS cases would better reflect the CWLA definitions and intent than the current statute and practice.

35   While the CWLA standards are just one suggested guidepost, they offer evidence informed insights case definitions and case work practice around specific case types. DCS should consider refining their definitions with such standards in mind particularly as a more refined view can provide greater accuracy related to the level of effort expended on behalf of the families they serve[7]. By adjusting these definitions and calculations, DCS will have the ability to capture a more precise picture of their current FCM workload and point-in-time compliance with Indiana's caseload statute. This more informed picture will allow DCS to better project hiring needs.

36   The Case Count Methodology Option Profile can be found in Appendix A.

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[5] US Department of Health and Human Services, ACF, Children Bureau 2012 Maltreatment Report

[6] Recommended Caseload Standards. (n.d.). Retrieved March 1, 2015, from http://66.227.70.18/newsevents/news030304cwlacaseload.htm

[7] Currently the definition "case" results in an over-implied level of effort as it treats a family with multiple in-home children the same as a same sized family where the children are out of home. Using child contacts as an example, Polices that require two contacts per month for an in-home family of three children can be achieved with two visits while that same requirement with same number of children in an out of home placement can result in the need for up to six visits if the children are separately placed. Counting each child as an individual regardless of placement setting does not account for service efficiencies that exist with in-home families.

5.2 Option 2: Case Closure Initiative

Recommendation: Design and institute case closure special initiative to be implemented cyclically to help monitor and manage backlogs

37   The Case Closure Initiative option encompasses a current state assessment of existing cases already identified as meeting the criteria for case closure but lingering due to pending documentation action. Assigned FCMs and supervisors would focus solely on completing administrative and documentation tasks to close identified assessment cases during a protected time period. A concerted Initiative would allow FCMs to focus solely on the tasks necessary to close cases, such as entering contact information into MaGIK, finishing the 310, uploading supporting documentation and other required data entry. Moving forward, a Case Closure Initiative cycle would be scheduled to give FCMs time to complete cases and prevent future bottlenecks. Ideally, supervisors would use this opportunity to build performance measure and data capture tools.

38   During work sessions and field observations it was noted that there were a number of cases that remain open for administrative reasons (e.g. not all contacts have been entered into MaGIK, required paperwork is not complete and uploaded, etc.), even though the children or families do not require further assistance or services. This build up was observed to be primarily with assessment cases. FCMs report that these cases do not get closed immediately upon meeting criteria due to the incoming and ongoing case workload, and may be prioritized at the bottom of the work list in order for FCMs to focus on "active" cases. Figure 3 seems to support this anecdotal evidence in assessments specifically, suggesting a building backlog of assessments statewide.
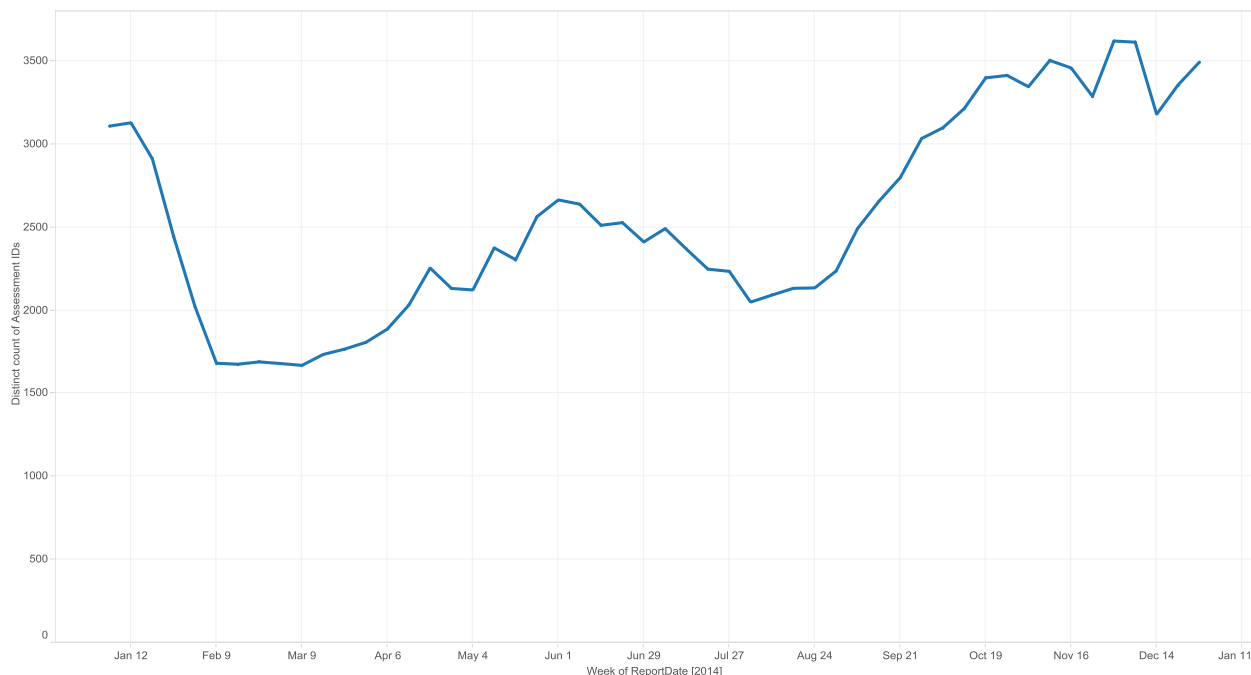

Figure 3: Number of Assessments Open Past 30 Days Captured by Week

39   FCMs demonstrated or provided several examples of challenges inhibiting timely case closure, including missing or incomplete data that is required by MaGIK case management system, waiting time for actual documents- paper court orders, and lack of consistent use of the MaGIK system. The omission was often attributed to lack of time due to their workload and the priority accorded to active cases as well as input challenges as FCMs do not all utilize the system effectively. In addition, information derived from the time study analysis indicates FCMs spend 24.4% of their time on paperwork but only 2.2% on case closure. The

work sessions, field observations, and the assessment case closure backlog all indicate the need to help Assessment Workers prioritize case closures. DCS would benefit from exploring opportunities for a similar initiative with ongoing cases.

40   Implementation of this option would positively impact assessment caseload compliance, the quality of case work, and performance results by directly and safely reducing the number of open cases, improving caseload metrics and allowing FCMs to focus on cases where children and families actually need services.

41   The Case Closure Initiative Option Profile can be found in Appendix A.

5.3   Option 3: Improving Tool Usage

Recommendation: Train every FCM to be proficient in using key functionality in the state's MaGIK case management system

42   The Improving Tool Usage option involves identifying opportunities to impact workload and FCM efficiency through increased usage of MaGIK automated capabilities. Once key activities have been identified, a training program would be developed that provides FCMs with a standardized approach maximizing MaGIK's functionalities. The onus of this option is to increase user awareness and adoption of MaGIK's technological features. To supplement the training, detailed reference manuals will be developed to facilitate a refresh of FCM skills and reinforce training.

43   Results from Time Study 2 demonstrate that 22% of FCM time is spent on data entry and manual documentation. Drilling down within this category, 79% of data entry and manual documentation time is spent specifically entering information into MaGIK. Duplicated effort was a reoccurring theme during the Work Sessions. FCMs reported capturing the same information manually and then in MaGIK due to technological challenges. Participants shared numerous pain points around user interface with MaGIK including challenges with data entry and remote access.

44   Field observations illustrated this duplication of data capture and a hesitancy to use technology in the community while engaging with families due to the belief that this would impact rapport. However, some individuals had learned to utilize MaGIK features and capabilities to address some of the challenges raised in the work sessions. In multiple regions and offices, the field observations reflected varied FCM familiarity with MaGIK's capabilities – some had only basic knowledge while others were able to use MaGIK's mobile application technology and dictation capabilities.

45   FCMs awareness and adoption of MaGIK capabilities is inconsistent. Tool adoption is a common challenge for large organizations particularly those in the public sector. However, as the analysis indicates increased usage could reduce FCM time spent on documentation and increase time available for case management. In order to maximize efficiencies, the key MaGIK functions must be identified and outlined. Increased mastery of MaGIK's capabilities would enhance FCM productivity and enable reallocation of time to other casework activities, which could result in improved outcomes and employee morale. Finally, more standardized usage of MaGIK across the state would enhance the accuracy and consistency of data capture and entry.

46   The Improving Tool Usage Option Profile can be found in Appendix A.

5.4   Option 4: Workforce Planning

Recommendation: Utilize workforce analytics to identify near term (next 12-24 months) staffing needs and build a comprehensive recruiting and retention strategy to minimize future staffing shortages

47   One of the significant themes to arise from data analysis was clarity into the multiple workforce challenges facing DCS. Three of these challenges, level of rising separations, increasing caseloads and slow and complex hiring have combined to create a "perfect storm" resulting in insufficient near term resources.

48   In Figure 4 the dark blue line represents FCM separation on a monthly basis. This captures resignations, retirements and terminations. From a numbers perspective, since December of 2013 DCS has experienced increasing rate of FCM separations.
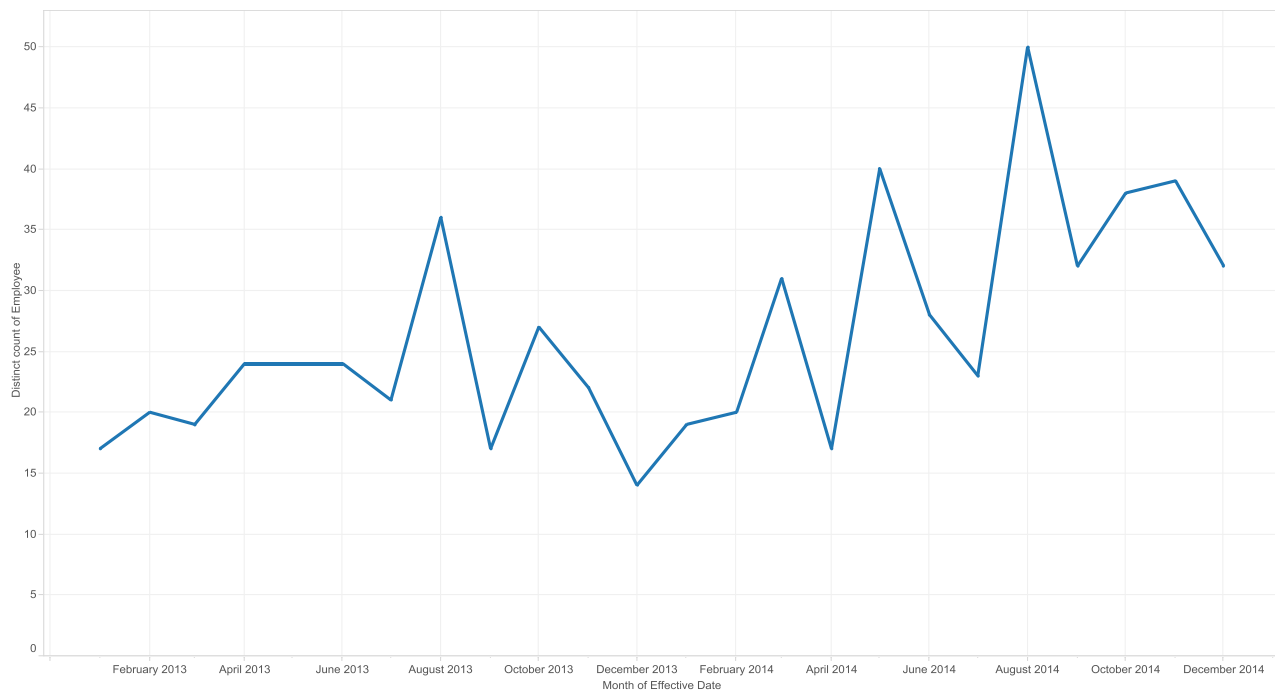
Figure 4: Total Number of Statewide FCM Separations by Month

49   These challenges with staffing at current caseload will be compounded moving forward. Figure 5 demonstrates the growth trend for total caseload as currently reported by DCS over the last year. The number of cases and assessments, in combination, has grown steadily. If it continues, this growth in caseload will drive an increase in the total number of FCMs needed to support caseload compliance.
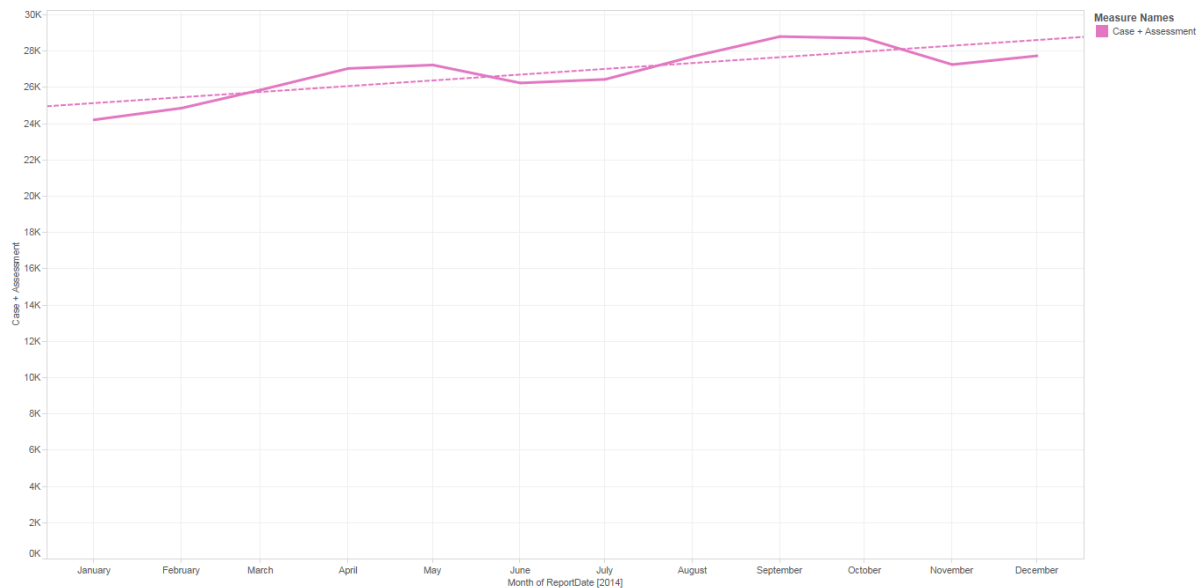
Figure 5: Total Caseload (Total Reported Assessment Caseload Plus Ongoing Caseload by Month)

50   In addition to the separation and caseload trends, FCM vacancies levels added to the challenge. The result of higher vacancy rates as well as increased separations is the increase of case reassignment. The impact of the re-assignment means that caseloads could range in the 20s for Assessment Workers and high 30s for Permanency Workers. FCMs reported the significant impact this had on morale and likely on employee retention.

51   To get ahead of the "perfect storm" DCS will need to understand the level of need for replacement and net new FCMs. Because these needs are numerically changing on a rolling basis as separations and caseload levels ebb and flow, it will important for DCS to assess its level of need both in the short-term to bring near term relief to existing caseloads and longer-term based on the effective implementation of various initiatives (not only those stemming from this study, but also pre-existing Agency initiatives already in progress).

52   In the near-term, DCS should calculate its need based on relieving caseload levels under the current caseload reporting structure. This near-term calculation (based on data as of January 1, 2015), which, if implemented at the 50% level for the next biennium, means that DCS would minimally request 104 additional positions. Because the data associated with caseload, attrition and vacancy changes daily, the level of the request should be re-calculated closer to the implementation period for greater alignment with what will be then current needs. It is important to note that the resulting level of additional headcount does not consider any reallocation or realignment of existing FCM staff into the case carrying pool or assume the benefit of the impact of any improvements in the near-term.

53   Filling current vacancies and increasing next level of FCMs will significantly lower FCMs' caseload burden. In turn, this will break the cycle of high caseloads to compensate for open positions – which should decrease separation. Targeted and data-driven recruiting, identifying those likely to be successful in case management, will further address this challenge. Retention efforts are also a significant opportunity. Considering the expenses affiliated with recruitment, hiring, new hire training and overtime, an initial investment in a comprehensive solution to the workforce challenges may be a cost savings over time

54   For long-term consideration, DCS should look to better align it reporting of Assessment cases and reconsider the definition of "case" for ongoing cases; in particular, there should be a distinction between in-home vs. out-of-home children. To achieve this change DCS should consider the more comprehensive calculation that utilizes adjusted figures for both active assessments and permanency caseload, with permanency caseload capturing children for out- of- home cases and family units for in- home cases. This

adjustment while significant will provide greater insight and clarity into the both Assessment and Ongoing cases and allow for the reallocation of staff across case types based on workload.

55   The Workforce Planning Option Profile can be found in Appendix A.

5.5   Option 5: Realignment of FCM Duties

Recommendation: Identify routine and time-intensive ancillary FCM duties and realign resources to support FCMs

56   The Realignment of FCM Duties option involves identifying routine, time-consuming activities currently performed by FCMs which could be reassigned to designated and trained support staff without adversely affecting the quality, timeliness, or effectiveness of case management services offered to children and families. The re-organizing of support tasks offers an opportunity to optimize the time and efforts of FCMs on the kinds of core casework-related tasks and activities that are more likely to contribute to safety, permanency and wellbeing outcomes for children. Moreover, delegating a number of largely administrative and ancillary tasks to a group of paraprofessionals, as well as restructuring of time consuming tasks to better leverage use of FCMs is considered a Child Welfare best practice, and multiple states currently assign support staff or leverage casework staff to help lessen FCM paperwork and administrative tasks and time consuming activities.[8]

57   Currently, according to time study data, FCMs spend over 30% of their time performing tasks that could potentially be shifted to paraprofessional staff. Based on the time studies conducted for this project, it appears that reassigning certain court paperwork – related duties along with their responsibilities for arranging travel and actually transporting clients could free up almost 10% of an FCM's time. In addition, the studies further suggest that tasks such as making referrals for services, preparing for meetings, scheduling, administering drug screens, and entering data into systems[9] could possibly be reassigned, and thereby free up an estimated additional 20% of an FCM's time. The potential value of re-structuring these kinds of duties was further confirmed during the actual work sessions with FCMs and supervisors. Many FCMs considered these tasks to be time-consuming additions to their workload that impacted their ability to perform core casework activities. In conducting site visits, it was noted that some regions have started to move in this direction and employ clerical staff to complete administrative tasks, such as data entry and documentation, for FCMs.

58   Understanding and managing where and how FCMs spend their time will likely improve DCS' ability to consistently meet its caseload standards and help address issues related to attrition and retention. FCMs will find themselves with more time to work directly with children and families, boosting their confidence in the decisions they are making and moving cases more quickly to appropriate resolution and closure. The opportunity to reduce an FCM's workload by an estimated 30% is sizable – representing almost a full day and a half of additional time.

59   The Realignment of FCM Duties Option Profile can be found in Appendix A.

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[8] Child Welfare Information Gateway. (April 2010). *Caseload and Workload Management*. Washington, D.C

[9] Accounting for the fact that there will still be some data entry required of an FCM, only 5%, which is one third of the total time spent on data entry – case notes/general information, was estimated to be re-assignable.

5.6   Option 6: Pipeline and Performance Metrics Methodology

Recommendation: Implement a performance management methodology for the case lifecycle including a routine pipeline analysis and performance metrics

60   The Pipeline and Performance Metrics Methodology option consists of identifying critical measures tied to the lifecycle of a child welfare case. Designated measures would track routine case progress during each phase of a case, including key hand- off opportunities. These measures would also encapsulate pulse points indicative of quality case management and/or critical warning signs designed to predict case health and give an early indication of potential challenges or disruptions. These kinds of performance metrics could help identify and address issues that are most likely to result in bottlenecks or diminish the quality of services delivered in real-time, allowing for near immediate notification to management and faster resolution. The goal of this option is to provide insight into critical trends and patterns that are already being captured by system data but not being brought forward to support day-to-day decision making at all levels of the organization. This kind of monitoring offers feedback that can be used to deploy resources, assess the impact of new policies and procedures, and drive a culture of continuous quality improvement.

61   To illustrate, one critical metric for assessment cases is timeliness – in Indiana, that means completing an investigation within 30 days of receiving the case referral. By tracking certain milestones related to completing assessments, FCMs and supervisors would be aware of potential bottleneck issues with respect to case completion in advance, and be able to develop a data informed response, such as mandating overtime for FCMs with cases that are not on track for a timely completion. At the aggregate level, DCS leadership would similarly be able to use this same data and monitoring to identify the regions/counties that contribute disproportionately to statewide patterns of overdue assessments. Equally important, such metrics would enable State leadership to identify which regions/counties outperform others in conducting and completing assessments timely and investigate the circumstances and management practices that contribute to their success. This can inform practice and policy decisions at the state level that could address common bottlenecks and hurdles.

62   Performance metrics represent a powerful engine for understanding the need for and monitoring change within the child welfare casework pipeline. They offer real-time information and insights that allow the agency to respond swiftly to the kinds of challenges that adversely affect their ability to comply with caseload standards and deliver high quality services. Child welfare cases follow a fairly predictable process through the casework pipeline and knowing when to intervene and why is critical to ensuring that adequate, appropriate and timely actions are being taken to protect and care for children. It is also critical to know where the problems are emerging throughout the lifecycle of the case- metrics provide guidance and insight into the occurrence of the issue in sufficient time to mitigate its impact

63   The Pipeline and Performance Metrics Methodology Option Profile can be found in Appendix A.

5.7   Option 7: Data Use Training for Administrators and Supervisors

Recommendation: Familiarize supervisors with institutional data resources and train them in data informed management practices

64   The Data Use Training for Supervisors option encompasses the training of Administrators and FCM supervisors in the use of available data to make informed decisions. The objectives of this option are to familiarize supervisors with the data available to them and to improve their understanding of how to use this data to: diagnose problems; identify whether particular FCMs/units contribute disproportionately to a given problem; make informed decisions about the best ways to intervene in problems; assess whether selected intervention strategies are working; and make data-driven strategy adjustments.

65   Like many governmental agencies, DCS is awash in data but has far too little information. Administrators and supervisors can indeed benefit greatly from addressing the difference, taking the opportunity to gain

insight into how they can use the tools at their disposal to retrieve information or to transform data into information that can help them make better management decisions. MaGIK's data analytics capabilities were reviewed and it was found that MaGIK can be set up to allow users, both FCMs and supervisors, to access rea-time data and set automatic alerts, reminders, checkpoints and prompts to keep case management activities on track.

66   For example, MaGIK is able to produce reports on the number of overdue assessments (those open longer than 30 days) by Region (shown in Table 4), by county, by supervisor, and even by FCM. Using some time series data and common sense color coding (in Table 4 darker red indicates more overdue assessments) enables the user to quickly identify trends and problem areas.

Week of ReportDate

Int_Region	October 5, 2014	October 12, 2014	October 19, 2014	October 26, 2014	November 2, 2014	November 9, 2014	November 16, 2014	November 23, 2014	November 30, 2014	December 7, 2014	December 14, 2014	December 21, 2014	December 28, 2014
0	57	62	72	65	80	94	104	90	107	111	109	115	120
1	344	354	363	367	377	389	416	363	379	352	260	234	248
2	26	28	32	23	21	22	18	18	18	20	7	7	13
3	225	214	227	235	253	251	245	255	324	302	273	289	325
4	81	79	101	98	124	130	122	121	134	132	87	89	81
5	66	70	65	35	35	37	31	38	38	45	21	27	33
6	74	73	83	94	84	104	94	81	89	80	80	97	113
7	112	105	143	133	138	171	146	183	175	167	144	168	157
8	244	264	258	273	254	286	268	255	294	312	286	306	329
9	90	104	115	121	113	105	92	95	101	88	78	94	97
10	1,175	1,256	1,305	1,292	1,174	1,211	1,193	1,180	1,255	1,265	1,195	1,307	1,335
11	129	106	113	139	114	120	121	110	92	116	119	133	155
12	49	56	38	52	76	75	83	73	72	63	55	53	33
13	101	80	63	46	46	33	39	34	50	50	43	57	51
14	97	109	111	132	131	127	125	116	138	170	152	137	139
15	23	31	54	59	57	50	40	41	47	51	48	50	51
16	59	65	80	56	61	78	92	80	118	130	90	72	92
17	64	77	80	88	103	112	113	89	107	86	72	61	66
18	73	72	86	96	95	99	106	55	72	63	50	48	44

Table 4: Number of Overdue Assessments by Region

67   Data usage is not always an accessibility or knowledge challenge. Data informed management can be impacted by factors such as human resource scarcity as supervisory practices are adjusted reactively to account for caseload, attrition and other variables. Training supervisors on the benefits of managing data in such times is even more critical. Integrated data usage can not only prevent challenges from being exacerbated but can show progress and advise efforts to address challenges in a more efficient manner.

68   With an understanding of the data available and the tools at their disposal to make use of it, administrators and supervisors will be better equipped to identify and address problems before they become crises and make data-driven decisions about resource allocation, case assignment, and personnel management.

69   The Data Use Training for Administrators and Supervisors Option Profile can be found in Appendix A.

5.8 Option 8: Management Training for Supervisors

Recommendation: Evaluate current supervisory development training and design improved training to include employee development techniques and accountability systems

70   The Management Training for Supervisors option involves reviewing and enhancing supervisory development training and focusing that training on specific coaching, mentoring, and management strategies that are likely to improve how the casework lifecycle progresses and thereby support a FCM workforce that is relatively new and inexperienced in doing that work. Data analysis conducted as part of the study suggests that compliance with caseload standards is being impacted significantly by high attrition rates. In addition, approximately 44% of the state's FCMs have less than 2 years of tenure with DCS. Turnover and constant hiring can significantly disturb an agency's day-to-day cadence and contribute to inconsistencies in how work is conducted. Supervision offers stabilization. Therefore, a training initiative to strengthen supervision skills could have a direct impact on FCM retention and quality of case management overall. This will provide supervisors with the necessary skills to help guide FCMs in making critical case decisions, improving casework quality and helping FCMs focus their time and efforts on high impact casework activities.

71   Feedback from the work sessions, field observations, and other related caseload analysis suggested that, while a system currently exists to coach, mentor and develop FCMs, that system is highly challenged to operate as designed given the high turnover in staff, the resulting high caseloads and the need for supervisors to both supervise and carry caseloads.

72   The Management Training for Supervisors Option Profile can be found in Appendix A.

5.9 Option 9: Evidence Informed IA Criteria

Recommendation: Devise a distinct set of evidence-informed criteria to promote consistent statewide use and practice

73   Several pain points were identified around the Informal Adjustment (IA) process. FCMs' largest conceptual concern was the lack of standardization as to when and how the IA process is utilized to meet family needs.

74   During observations, one large county utilized IAs as a way to provide services to families that need help, but do not have an allegation that will result in a CHINS case. They described using IA primarily for educational neglect, but also used the approach for cases such as sexual abuse when the alleged perpetrator no longer has access to the alleged victim (thereby avoiding even further trauma to the child but clearly continuing to address the abuse and working to heal the child). In another larger county, FCMs stated that the IA was confusing and ill-defined and should just be stopped as it was not effective and was believed to usually result in a CHINS. Another county reported not using the process at all.

75   However, QSR data analysis showed that higher service quality on IA cases was associated with shorter case lengths, while service quality, as measured by the QSR, had little discernable effect on the length of CHINS cases. This suggests that IA, when done well, could be an effective lever for shortening the duration of some cases, thereby reducing caseloads. The opportunity exists to examine this data more closely and identify which practices should be standardized and replicated. Additionally, defining which types of families are the best candidates for the IA process and what services should be provided would likely prevent some CHINS cases and some removals, increase case management quality, and potentially boost staff morale as well.

76   The Evidence Informed IA Criteria Option Profile can be found in Appendix A.

5.10 Option 10: Centralized PMO

Recommendation: Create a centralized PMO to provide oversight and governance with dedicated staff in options identified and recommended by this study

77   The centralized Project Management Office (PMO) option is critical to DCS successfully delivering any of the other suggested options. Implementation of a PMO will help the agency prioritize and coordinate the implementation of the recommendations. This option will address various project management activities within and across internal DCS areas, including resource management, reporting, governance, acceptance standards, and the implementation of communication protocols and procedures.

78   The option will allow management to align the entire organization with the strategy resulting from the analysis of DCS's caseload and workload imperative. There are three key activities that must take place in order to implement the Centralize PMO option within DCS.

- Define the project Governance Structure to prioritize, coordinate, and oversee the implementation of projects

- Develop a Process Guide outlining the roles and responsibilities from initiation to implementation of projects as well as the standards and procedures for how projects are structured

- Develop a Communications Plan informing stakeholders of the projects, milestones, and progress to date

79   These components, when utilized in concert, will create a model approach for initiating, managing, completing and, on occasion, discontinuing projects

80   The Centralized PMO Option Profile can be found in Appendix A.

6 Explanation of Option Profiles

81 For each option identified, a profile was created. These profiles are not intended to serve as the work plan for implementation, but instead as an input to the definition of scope, requirements, and detailed implementation work plan creation once the project is initiated.

82 Table 5 shows the template used for the option profiles. A completed profile for each project is included in Appendix A.

Option Name	Short Name of Option
Description	Brief description of the future state once the option has been implemented
Project Type	People, Process, or Technology
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: ▭ Minimally intricate solution in terms of people, process, or technology ▭ Moderately intricate solution in terms of people, process, or technology ▭ Highly intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: ▭ 0 to 6 months ▭ 6 to 12 months ▭ 12 or more months
Benefits	Impact the option will have on benefit categories: L ◖ H Option will moderately improve the benefit category L ◗ H Option will significantly improve the benefit category Brief description of the benefits of implementing this option.
Challenges / Barriers	Describes the existing people, processes, and technologies which could hinder implementation
Key Implementation Activities	High-level sequence of activities that need to be completed in order to implement the option
Cross Recommendation Dependencies	Key activities and decisions required prior to implementation of the option, such as the selection and implementation of enabling technologies or the successful implementation of other recommended options
Notes and Considerations	
Additional notes about the option	

Table 5: Option Profile Template

7 Implementation Roadmap

83   Figure 6 provides a view of the Roadmap which presents the list of recommendations resulting from this project as well as their expected time for implementation. It shows if the recommendation is most closely aligned to a people, process, or technology change. The Roadmap is also provided in Attachment A.
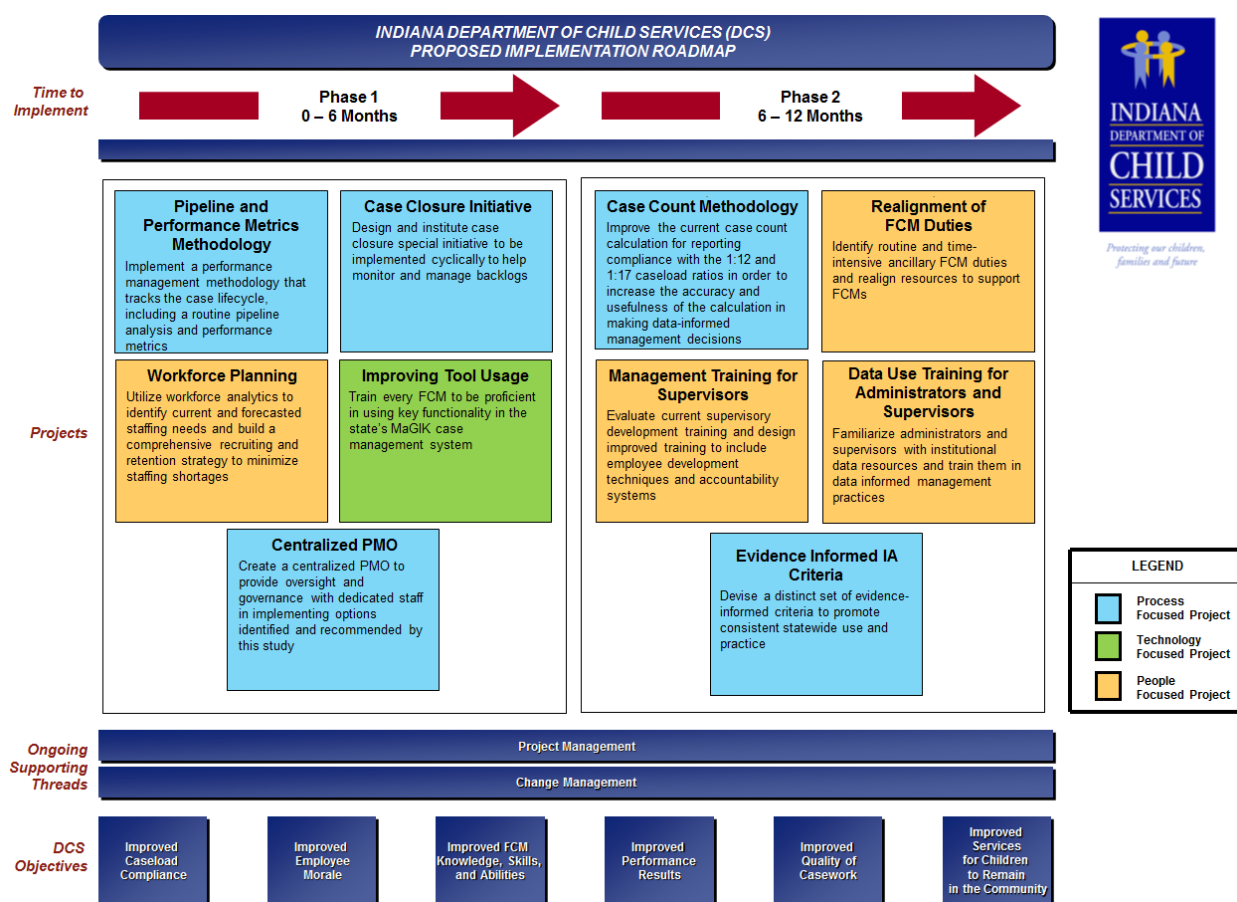
Figure 6: Implementation Roadmap

7.1 Assumptions

84   The following is a list of general assumptions Deloitte Consulting made when creating the Roadmap resulting from this study:

- The 0-6 and 6-12 month phases used when developing the Roadmap consider the time needed for a project to be implemented.

- Pilot projects will be used where possible to help identify potential issues early in the implementation of the Roadmap.

- If the recommended option is best implemented using a targeted pilot before the full implementation, then the timeline estimate is based on that pilot being initiated.

- The option duration is based on the time you start a particular option. It is not a combined timeline for all projects in that phase.

- The Implementation Roadmap will be evaluated and refined as it is implemented.

7.2 Key Implementation Considerations

85   Many of the Roadmap projects are interrelated and, to varying extents, dependent on the successful implementation of other projects for efficient implementation and to gain the maximum return on investment. For example, the Centralized PMO project provides critical oversight needed to both prioritize and drive the efficient implementation of most projects identified by this study.

8 Appendix A: Option Profiles

8.1 Option #1: Case Count Methodology

Option Name	Case Count Methodology
Description	DCS has a statute outlining a 1:12 caseload for assessment cases and a 1:17 caseload for ongoing cases. DCS has an immediate opportunity to improve the current case count calculation in order to increase the accuracy and versatility of the calculation in making data-informed management decisions around caseloads. This option involves adjusting several elements to the existing calculation. To begin, DCS could consider revising its definitions to include active cases as well as new cases in assessment and expanding the definition of ongoing cases to differentiate between in home and out of home. DCS could also focus on improving the method used for approximating the assessment caseload. DCS would also benefit from implementing a calculation method step to differentiate between Assessment Worker and Permanency Worker need, and shift toward reporting monthly actuals rather than averages.
Project Type	Process
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: ▬▬▬ Moderately intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: ▬▬▬ 6 to 12 months
Benefits	Improved Caseload Compliance L ⌒ H • More accurate representation of current caseload and compliance reporting with the 1:12 and 1:17 ratios month to month • Ability to differentiate between Assessment Worker and Permanency Worker need within the current FCM need calculation to inform hiring and alignment decisions. • Representation of current caseload trends in real-time rather than lagging indicators resultant from a 12-month average.

Challenges / Barriers	Challenges and potential barriers related to this option include: • Current policy focus on the individual child may present challenges in adopting the CWLA ongoing caseload definition focusing on family count • Current data pulls and queries supporting compliance reporting must be redesigned, tested, and implemented
Key Implementation Activities	The following is a high-level sequence of activities that needs to be completed in order to implement this option: • Assess adoption of CWLA definitions for ongoing case and assessment caseload • Design an accurate method for approximating monthly assessment caseload for both newly assigned and previously opened but active cases • Alter reporting queries and data pulls to support the improved calculation method
Cross Recommendation Dependencies	None
Notes and Considerations	
N/A	

Table 6: Option #1: Case Count Methodology

8.2 Option #2: Case Closure Initiative

Option Name	Case Closure Initiative
Description	The Case Closure Initiative option encompasses identifying assessment cases that are ready for closure and having the related FCMs and supervisors focus on closing those cases. Given the impact on caseload metrics, cases that are ready for closure need to be closed in a disciplined manner and on a timely basis. Through the performance of the work activities related to the work sessions, field observations, and other related caseload analysis work, it was noted that there are a number of assessment cases that remain open where the children or families do not require further assistance or services, but the cases remain open for case administrative reasons (e.g. not all contacts have been entered into MaGIK, required paperwork is not complete and uploaded, etc.). Often these cases do not get closed timely due to the incoming and ongoing case workload, and may be prioritized at the bottom of the work list in order for FCMs to focus on "active" cases. It would also benefit DCS to explore if there is a similar bottleneck in closing ongoing cases.
Project Type	Process
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: ▭▭▭ Minimally intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: ▭▭▭ 0 to 6 months

	Improved Quality of Casework L ◗ H	Improved Caseload Compliance L ◗ H	Improved Performance Results L ◗ H
Benefits	• Improved casework quality due to less cases open to monitor and manage • More attention to cases where the child or family require attention and/or services • Benefit resulting from implementation of lessons learned from this option	• Improved caseload compliance metrics due to cases being closed that already met the criteria for case completion	• Shorter overall case duration which more accurately reflects real time work • Benefit resulting from implementation of lessons learned from this option

Challenges / Barriers	Challenges and potential barriers related to this option include: • The availability of FCMs and Supervisors to perform this option given current caseloads they may already be carrying or other high priority tasks that need to be complete that would conflict with assignment to this option • The potential overtime required and necessary approvals

Key Implementation Considerations	The following are key considerations for implementation related to this option: • Develop an approach for identifying cases that are ready for closure and completing the work • Define a structure of supervision and progress monitoring and reporting for this option • Identify how this option will be staffed • Establish metrics to monitor the gap between the time when a case is approved for case closure and is actually closed administratively • Implement an ongoing system for monitoring compliance • Execute the initiative cyclically when dashboard indicators and case reports indicate the number of cases ready for closure has exceeded the desired threshold • Note and apply lessons learned so that they can be applied to impact the closure of future cases that do not require further child or family services and historically have remained open for due to case administrative purposes
Cross Recommendation Dependencies	None
Notes and Considerations	

Table 7: Option #2: Case Closure Initiative

8.3 Option #3: Improving Tool Usage

Option Name	Improving Tool Usage
Description	The Improving Tool Usage option involves identifying opportunities to impact workload and FCM efficiency through increased usage of MaGIK automated capabilities. Once key activities have been identified, a training program would be developed that provides FCMs with a standardized approach maximizing MaGIK's functionalities. The onus of this option is to increase user awareness and adoption of MaGIK's technological features by: identifying key activities; developing a training program that helps FCMs take maximum advantage of MaGIK's functionalities related to those key activities; and develop detailed reference materials to facilitate a refresh of FCM skills and reinforce training
Project Type	Technology
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: Highly intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: 0 to 6 months
Benefits	Improved Performance Results L—H • Decrease in time spent on data entry in MaGIK, increase in time allocated to other activities Improved Caseload Compliance L—H • Increased proficiency in MaGIK facilitates case closure and reduction of case backlog Improved Employee Morale L—H • Increase in productivity and decrease in end-user frustration due to diminished redundancy of documentation activities Savings of Staff Time L—H • Decrease in time spent on documentation Improved FCM Knowledge, Skills, and Abilities L—H • Increased knowledge of MaGIK capabilities and functionalities
Challenges / Barriers	Challenges and potential barriers related to this option include: • Lack of funding to support the development and maintenance of new training program • Historical lack of user adoption • FCM high attrition levels lead to a lack of sustained institutional knowledge

Key Implementation Consideration	The following is a high-level sequence of activities that needs to be completed in order to implement this option: • Identify MaGIK capabilities which have the most potential to decrease duplication of data entry and increase time efficiencies • Develop training curriculum and module and building into current efforts, new hire training and ongoing training • Determine cyclicality of training efforts • Define training delivery modality • Develop supporting documentation and/or tools for reference and refresh
Cross Recommendation Dependencies	None
Notes and Considerations	
N/A	

Table 8: Option #3: Improving Tool Usage

8.4 Option #4: Workforce Planning

Option Name	Workforce Planning
Description	One of the significant themes to arise from data analysis was the challenges DCS faces around its human resources. Filling current vacancies and reducing future vacancies will lower caseload burden significantly. In turn, this will interrupt the cycle of high caseloads to compensate for open positions – which should decrease attrition. Targeted and data driven recruiting – to identify those likely to be successful in case management and those likely to stay in the child welfare field – will further address this challenge. Retention efforts are also indicated as a significant opportunity. Considering the expenses affiliated with recruitment, hiring, new hire training and overtime an initial investment in a comprehensive solution to the workforce challenges may be a cost savings over time.
Project Type	People
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: Minimally intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: 0 to 6 months

Benefits	Improved Caseload Compliance L ◠ H	Improved Employee Morale L ◠ H	
	• Filling current vacancies and remaining fully staffed will bring the department closer, to caseload compliance	• Lengthy cycles of understaffing and high caseloads have decreased overall morale, addressing this will increase morale	

Challenges / Barriers	Challenges and potential barriers related to this option include: • Current turnover rates have made maintaining a full staff compliment very challenging • Retention barriers will need to be addressed simultaneous to recruitment to prevent the cycle from reoccurring • This may require initial financial investment to increase the number of full time employees • Expedience in the hiring process • Sufficient adequately credential human resource supply available in market and across all areas of the state

Key Implementation Considerations	The following is a high-level sequence of activities that needs to be completed in order to implement this option: • Build methodology to identify current FCM need and projected needs based on attrition rates and case number increases • Identify evidence informed hiring profiles with data measurements for targeted positions - Consider private sector practices and methodologies • Develop and implement a short term recruitment plan to ramp up to meet existing need and a longer term recruitment plan to continue to analyze, refine and address recruitment needs • Complete comprehensive analysis to identify attrition factors amongst current workforce • Create and implement data informed retention plan with performance measures
Cross Recommendation Dependencies	None
Notes and Considerations	
N/A	

Table 9: Option #4: Workforce Planning

8.5   Option #5: Realignment of FCM Duties

Option Name	Realignment of FCM Duties
Description	The Realignment of FCM Duties option involves identifying routine, time-consuming activities currently performed by FCMs, which could be reassigned to designated and trained support staff without adversely affecting the quality, timeliness, or effectiveness of case management services offered to children and families. This off-loading of support tasks offers an opportunity to optimize the time and efforts of FCMs on the kinds of core casework related tasks and activities that are more likely to contribute to safety, permanency and wellbeing outcomes for children. Moreover, delegating a number of largely administrative and ancillary tasks to a group of paraprofessionals has entered the corpus of Child Welfare best practice, and multiple states currently assign support staff to help lessen FCM paperwork and administrative tasks
Project Type	People
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: Moderately intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: 6 to 12 months

Benefits	Improved Performance Results L—H • Decrease in time spent on ancillary tasks	Improved Caseload Compliance L—H • Decrease in workload per case	Improved Employee Morale L—H • Increase in job satisfaction
	Savings of Staff Time L—H • Decrease in time spent on ancillary and administrative tasks	Improved Quality of Casework L—H • Increase in time spent on essential case activities	

Challenges / Barriers	Challenges and potential barriers related to this option include: • Lack of funding to support the development of new roles within DCS, and the resources to staff the positions

	The following is a high-level sequence of activities that needs to be completed in order to implement this option:
Key Implementation Activities	• Identify time-intensive administrative and ancillary duties that can be redistributed without impacting quality of case management services
	• Engage impacted stakeholders
	• Identify existing resources that can be aligned to selected duties
	• Define additional need, if applicable, for specialized and support staff roles
	• Create a strategy to implement the new structure including reviewing job descriptions and designing a change management approach
	• Build phased approach for roll out including stakeholders
Cross Recommendation Dependencies	None

Notes and Considerations
N/A

Table 10: Option #5: Realignment of FCM Duties

8.6 Option #6: Pipeline and Performance Metrics Methodology

Option Name	Pipeline and Performance Metrics Methodology
Description	The Pipeline and Performance Metrics Methodology option consists of identifying critical measures tied to the lifecycle of a child welfare case. Designated measures would track routine case progress during each phase of a case, including key hand off opportunities. These measures would also encapsulate pulse points indicative of quality case management and/or critical warning signs designed to predict case health and give early indication of potential challenges or disruptions. These kinds of performance metrics could help identify and address issues that are most likely to result in bottlenecks or diminish the quality of services delivered in real-time, allowing for near immediate notification to management for resolution. The goal of this option is to provide insight into critical trends and patterns that is already being captured by system data but not being brought forward to support day to day decision making at all levels of the organization. This kind of monitoring offers the kind of feedback that can be used to deploy resources, assess the impact of new policies and procedures, and drive a culture of continuous quality improvement.
Project Type	Process
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: Moderately intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: 0 to 6 months
Benefits	Improved Performance Results L H • Instituting Metrics around lifecycle points will identify recurring trends that may indicate barriers and opportunities and design subsequent policies or solutions to address	Improved Caseload Compliance L H • Increase in monitoring improves caseload compliance due to allocation of resources	
Challenges / Barriers	Challenges and potential barriers related to this option include: • Obtaining the funding to support the development of a performance management methodology • Instituting widespread adoption and consistent usage

Key Implementation Activities	The following is a high-level sequence of activities that needs to be completed in order to implement this option: • Determine the key pipeline activities that should be captured and tracked in the technology • Define how the data will be used; what the data will be a proxy for • Develop performance metrics • Establish frequency of data review • Draft guidance on accessing information and conducting review • Engage stakeholders and determine optimal strategy for implementation • Design implementation strategy including communication and messaging, training and adoption measurements • Determine links to employee performance management, state and federal reporting requirements and other potential usages
Cross Recommendation Dependencies	None
Notes and Considerations	
N/A	

Table 11: Option #6: Pipeline and Performance Metrics Methodology

8.7 Option #7: Data Use Training for Administrators and Supervisors

Option Name	Data Use Training for Administrators and Supervisors
Description	The Data Use Training for Supervisors option encompasses the training of Administrators and FCM supervisors in using available data to make informed decisions. The objectives of this option are to familiarize supervisors with the data available to them and to improve their understanding of how to use these data to: diagnose problems; identify whether particular FCMs/units contribute disproportionately to a given problem; make informed decisions about the best ways to intervene in problems; assess whether selected intervention strategies are working; and make data-driven strategy adjustments. With an understanding of the data available and of the tools at their disposal to make use of it, Administrators and Supervisors will be better equipped to identify and address problems before they become crises, leverage existing data and tools to make data-driven decisions about resource allocation, case assignment and personnel management.
Project Type	People
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: Moderately intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: 6 to 12 months
Benefits	Improved Performance Results L ◗ H • Increase in monitoring improves performance due to allocation of requisite resources Improved Caseload Compliance L ◗ H • Increase in support to address case closures and caseloads
Challenges / Barriers	Challenges and potential barriers related to this option include: • Currently, MaGIK capabilities are not utilized consistently across the FCM and supervisor populations
Key Implementation Activities	The following is a high-level sequence of activities that needs to be completed in order to implement this option: • Select performance metrics and corresponding functions that have highest potential impact on FCM performance from the available data sources • Link identified measures to individual employee or unit performance and case management outcomes • Design implementation strategy including stakeholder engagement, pilot identification and scheduling, communication planning • Develop training strategy including curriculum, cyclicality of training efforts and modality • Develop supporting documentation and/or tools for reference and refresh • Review adoption periodically and address barriers via new training or refining efforts

Cross Recommendation Dependencies	None
Notes and Considerations	
N/A	

Table 12: Option #7: Data Use Training for Administrators and Supervisors

8.8 Option #8: Management Training for Supervisors

Option Name	Management Training for Supervisors		
Description	The Management Training for Supervisors option involves evaluating and enhancing supervisory development training so that it includes coaching, mentoring, and management and accountability. This will provide supervisors with the necessary training to help guide FCMs, many of them with limited work experience, with critical case decisions, help ensure casework quality, and help FCMs focus their time on critical case activates while minimizing the time spent on non-value add or redundant tasks		
Project Type	People		
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: Highly intricate solution in terms of people, process, or technology		
Duration	Estimated length of time to implement option: 6 to 12 months		
Benefits	**Improved Caseload Compliance** L ◖ H • Increased compliance due to better supervision and direction	**Improved Employee Morale** L ◖ H • Increased supervisor and FCM morale from increase in support and development activities	**Improved Performance Results** L ◖ H • Potential reduced case durations due to better supervision and direction
	Improved FCM Knowledge, Skills and Abilities L ◗ H • Increased FCM knowledge and skill set due to coaching and mentoring	**Improved Quality of Casework** L ◗ H • Improved case work quality due to better mentoring and supervision and more targeted efforts around critical activities	
Challenges / Barriers	Challenges and potential barriers related to this option include: • Potential conflicts with existing "peer coach" initiative • Ensuring that adoption is consistent and widespread • In-house capabilities for training design		

Key Implementation Considerations	The following are key considerations for implementation related to this option: • Analyze existing supervisory approaches for efficacy and consistency identifying strengths to leverage and opportunities to develop further • Evaluate current supervisory development processes and/or training and identify opportunities to enhance existing material or develop new approaches • Engage stakeholders to synthesize findings and create an overall evidence informed model for supervision • Determine key performance measures to track method implementation and ongoing impact • Develop change management plan including training curriculum and delivery plan • Make any necessary adjustments based on lessons learned
Cross Recommendation Dependencies	None
Notes and Considerations	
N/A	

Table 13: Option #8: Management Training for Supervisors

8.9 Option #9: Evidence Informed IA Criteria

Option Name	Evidence Informed IA Criteria
Description	Devise a distinct set of evidence-informed circumstances and interventions for the most effective use of IA. This would include identifying the family and service characteristics associated with positive IA outcomes, outlining critical components of the approach used by jurisdictions that get the best IA results, and tracking IA use and outcomes to further refine the approach.
Project Type	Process
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: ▭▭▭ Highly intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: ▭▭▭ 6 to 12 months
Benefits	Improved Services for Children to Remain in the Community L ◠ H • Identifying the right families and providing evidence informed services will increase the number of youth remaining in their home and decrease CHINS cases Improved Quality of Casework L ◠ H • Operationalizing and training to evidence informed IA criteria will target the approach and improve service quality	Improves Performance Results L ◠ H • Identifying the right activities could directly impact the quality of services provided to families and reduce case length, thereby reducing caseloads	Savings of Staff Time L ◔ H • Defining IA approach and criteria should reduce the number of IA cases that eventually evolve into CHINS cases and eliminate the involved court and documentation requirements
Challenges / Barriers	Challenges and potential barriers related to this option include: • IA criteria is widely varied and highly influenced by judicial preferences making change more complex.

Key Implementation Activities	The following is a high-level sequence of activities that needs to be completed in order to implement this option: • Collect comparison data on evidence informed IA practices in comparable states and outcomes • Analyze IA cases within Indiana to identify strengths, promising practices and approaches that can be operationalized and replicated (building on QSR data review results) • Define IA criteria, using analytics, in terms of family characteristics and an operationalized approach with judicial input as appropriate • Develop performance measures to determine impacts • Pilot roll-out in targeted regions using proactive change management techniques • Analyze pilot data and create larger roll-out plan • Incorporate materials into cohort and ongoing training
Cross Recommendation Dependencies	None
Notes and Considerations	
N/A	

Table 14: Option #9: Evidence Informed IA Criteria

8.10 Option #10: Centralized PMO

Option Name	Options Governance Process
Description	Inherent to the successful implementation of any of the aforementioned options is successful design and execution strategy. This begins with a designated team of dedicated staff to create the implementation plan and manage related tasks. This becomes increasingly important if DCS chooses to implement multiple options simultaneously or options that would potentially impact current DCS's current institutional culture or processes. Centralized PMO would allow for the development of a concerted implementation strategy, coordinating the implementation of these options. Additionally, centralized governance can provide transparency and clear direction raising awareness on the future benefits for FCMs and other involved parties.
Project Type	Process
Complexity	The amount of change to one or more of the following aspects: policies, systems, processes, organizational / reporting structures, resource levels, resource behavior and culture: ▭▭▭ Minimally intricate solution in terms of people, process, or technology
Duration	Estimated length of time to implement option: ▭▭▭ 0 to 6 months
Benefits	Support and Enables Overall Initiatives L ◗ H • Centralizing oversight increases timely implementation and adoption and reduces disruption and change management concerns
Challenges / Barriers	N/A
Key Implementation Activities	The following is a high-level sequence of activities that needs to be completed in order to implement this option: • Identify a centralized governance team representing diverse and relevant stakeholders • Develop governance structures and processes spanning all selected options for implementation including project management timelines and activities • Establish communication, training and change management plans including vehicles • Create and manage to performance metrics
Cross Recommendation Dependencies	Dependent on selected options targeted for implementation.

Notes and Considerations
Selecting more than three options will require centralized governance.

Table 15: Option #10: Centralized PMO